

90 Rec'd PCT/PTO 15 AUG 2000

FORM PTO-1390  
(REV 5-93)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.  
P107242-00005

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

DATE: August 15, 2000

U.S. APPLN. NO.  
(IF KNOWN, SEE 37 CFR 1.5)  
09/600888

INTERNATIONAL APPLICATION NO.  
PCT/JP99/06533


INTERNATIONAL FILING DATE  
November 24, 1999

PRIORITY DATE CLAIMED  
December 28, 1998

TITLE OF INVENTION: LIGHT EMITTING DIODE AND FABRICATION PROCESS THEREFOR

APPLICANT(S) FOR DO/EO/US: Kingo SUZUKI; Hitoshi IKEDA

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.  
(THE BASIC FILING FEE IS ATTACHED)
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT articles 22 and 39(1).
  4. ☐ A proper demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☒ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
  6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☐ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☐ A substitute specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information:  
Check No. 298401  
Drawing(s) 5 sheets  
Notification of Change of Name and Address  
Request for Approval of Drawing Changes  
International Search Report  
Japanese Language Request Form  
Notification Concerning Submission of Priority Documents (PCT/IB/304)  
Notification of Receipt of Record Copy (PCT/IB/301)  
Notice Informing the Applicant of the Communication of the International  
Application to the Designated Offices (PCT/IB/308)  
International Publication No. WO00/41249

U.S. APPLN. NO. (IF KNOWN, SEE 37 C.F.R. 1.50) <div style="font-size: 1.5em; font-weight: bold; margin-left: 20px;">09/600888</div>		INTERNATIONAL APPLICATION NO. PCT/JP99/06533		ATTORNEY DOCKET NO. P107242-00005 DATE: August 15, 2000	
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>Basic National Fee (37 CFR 1.492(a)(1)-(5):</b> Search Report has been prepared by the EPO or JPO.....\$840.00 International preliminary examination fee paid to USPTO (37 CFR 1.482).....\$670.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$760.00 Neither international preliminary examination fee (37 CFR 1.482) or international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$970.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....\$ 96.00				CALCULATIONS      PTO USE ONLY <hr style="width: 100%;"/>	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				\$ 840.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than _ 20 _ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					
Claims	Number Filed	Number Extra	Rate		
Total Claims	7 - 20 =	0	X \$ 18.00		
Independent Claims	2 - 3 =	0	X \$ 78.00		
Multiple dependent claim(s) (if applicable)			+ \$260.00		
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 840.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).					
<b>SUBTOTAL =</b>				\$ 840.00	
Processing fee of \$130.00 for furnishing the English translation later the _ 20 _ 30 months from the earliest claimed priority date (37 CFR 1.492(f)). <div style="text-align: right;">+</div>					
<b>TOTAL NATIONAL FEE =</b>				\$ 840.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property <div style="text-align: right;">+</div>				\$ 40.00	
<b>TOTAL FEES ENCLOSED =</b>				\$ 880.00	
				Amount to be refunded	\$
				Charged	\$
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>880.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. <u>01-2300</u> in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>01-2300</u> .					
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>					
SEND ALL CORRESPONDENCE TO:  Arent Fox Kintner Plotkin & Kahn, PLLC 1050 Connecticut Avenue, N.W., Suite 600 Washington, D.C. 20036-5339 Telephone No. (202) 857-6000 Facsimile No. (202) 638-4810					
				 David T. Nikaido Reg. No. 22,663	

09/600888

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

534 Rec'd PCT/PTO 15 AUG 2000

In re the application of:

SUZUKI et al.

Serial No.: New Application

Group Art Unit:

Filed: August 15, 2000

Examiner:

For: LIGHT EMITTING DIODE AND FABRICATION PROCESS THEREFOR

**NOTIFICATION OF CHANGE OF NAME AND ADDRESS**

Commissioner for Patents  
Washington, D.C. 20231

August 15, 2000

Sir:

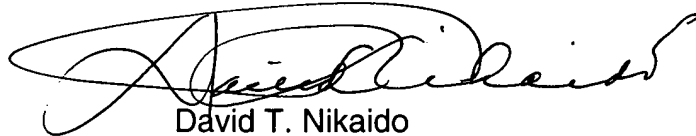
Kindly change the correspondence name and address for the above-identified application to the following:

ARENT FOX KINTNER PLOTKIN & KAHN, PLLC  
1050 Connecticut Avenue, N.W., Suite 600  
Washington, D.C. 20036-5339  
Telephone: (202) 857-6000  
Facsimile: (202) 638-4810

Should any fees be due with respect to this paper, please charge Counsel's Deposit Account No. 01-2300.

Respectfully submitted,

ARENT FOX KINTNER PLOTKIN & KAHN



David T. Nikaido  
Attorney for Applicants  
Reg. No. 22,663

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